



10-20-03

362  
PATENT

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Robert L. Cadoux

Application No.: 09/491,388      Group Art Unit: 3624  
Filed: January 26, 2000      Examiner: Pwu

For: A SERIALLY STAGED, INITIAL PUBLIC STOCK OFFERING METHOD

Commissioner for Patents  
P.O. Box: 1450  
Alexandria, VA 22313-1450

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Date of Deposit October 17, 2003

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**AMENDMENT TRANSMITTAL  
RESPONSE TO OFFICE ACTION  
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NOTE: The label number need not be placed in each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing or the drawings be accompanied by a set of informal drawings on which the label number is placed.

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10/23/2003 CCHAU1 00000094 09491388

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Attorney's Docket No. 99629

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**RECEIVED**

OCT 28 2003

**AMENDMENT TRANSMITTAL**

**GROUP 3600**

1. Transmitted herewith is an amendment for this application.

**STATUS**

2. Applicant is

☒ A statement that this filing is by a small entity is hereby asserted in accordance with the rule change effective September 8, 2000, 65 Fed. Reg. 54603.

☐ other than a small entity.

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**CERTIFICATE OF MAILING/TRANSMISSION (37 CFR 1.8a)**

I hereby certify that this correspondence is, on the date shown below, being:

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\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
*(type or print name of person certifying)*

## FEE FOR CLAIMS

4. The fee for claims (37 CFR 1.16(b)-(d) has been calculated as shown below:

(Col. 1)		(Col. 2)		(Col. 3)	SMALL ENTITY			OTHER THAN A SMALL ENTITY	
CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NO PREVIOUSLY PAID FOR		PRESENT EXTRA	RATE	ADDIT. FEE	OR	RATE	ADDIT. FEE
TOTAL	26•	MINUS	20••	=6	x9=	\$54.00		x18=	\$0.
INDEP.	2•	MINUS	3•••	=0	x43=	\$0		x86=	\$0.
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEP. CLAIM					+130=	\$		+290=	\$
					TOTAL ADDIT. FEE	\$54.00	OR	TOTAL ADDIT. FEE	\$0.

- If the entry in Col. 1 is less than entry in Col. 2, write "}" in Col. 3.
- If the "Highest No. Previously Paid for" IN THIS SPACE is less than 20, enter "20."
- If the "Highest No. Previously Paid for" IN THIS SPACE is less than 3, enter "3."  
The "Highest No. Previously Paid for" (Total or indep.) is the highest number found in the appropriate box in Col. 1 of a prior amendment or the number of claims originally filed.

**WARNING** "After final rejection or action (§ 1.113) amendments may be made cancelling claims or complying with any requirement of form which has been made." 37 CFR § 1.116(a) (emphasis added).

Complete (c) or (d), as applicable)

(c) ☐ No additional fee for claims is required.

**OR**

(d) ☒ Total additional fee for claims required \$ 54.00

## FEE PAYMENT

5. ☒ Attached is a check in the sum of \$ 529.00

☐ Charge Account No. \_\_\_\_\_ the sum of \$ \_\_\_\_\_

A duplicate of this transmittal is attached.

## FEE DEFICIENCY

**NOTE:** *If there is a fee deficiency and there is no authorization to charge an account, additional fees are necessary to cover the additional time consumed in making up the original deficiency. If the maximum, six-month period has expired before the deficiency is noted and corrected, the application is held abandoned. In those instances where authorization to charge is included, processing delays are encountered in returning the papers to the PTO Finance Branch in order to apply these charges prior to action on the cases. Authorization to charge the deposit account for any fee deficiency should be checked. See the Notice of April 7, 1986, (1065 O.G. 31-33).*

6. ☒ If any additional extension and/or fee is required, charge Account No.  
7. 11-1110

## AND/OR

- ☒ If any additional fee for claims is required, charge Account No.  
11-1110



SIGNATURE OF PRACTITIONER

Reg. No.: 42,747

Mark G. Knedeisen  
(type or print name of practitioner)

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